

## **ATTACHMENT B**

### **SCOPE OF WORK**

In return for the funds provided under this Agreement the GRANTEE agrees to the following:

#### **I. BACKGROUND INFORMATION**

The State of Utah, DHS/DSAMH received a Strategic Prevention Framework State Incentive Grant (SPF SIG) in October 2006. The Center for Substance Abuse Prevention (CSAP), Substance Abuse and Mental Health Services Administration (SAMHSA) recently approved the STATE'S plans for expending SPF SIG funds.

SPF SIG requirements will be addressed through building infrastructure to provide prevention services throughout the State of Utah. SPF SIG funds will be used to collect data on substance abuse related injuries or deaths to guide the State with local selection of programs, practices and policies. The funded substance abuse priorities identified for this grant are to reduce: 1) Alcohol Related Motor Vehicle Crashes and 2) Prescription Drug Abuse across the lifespan of Utah citizens. The term "across the lifespan" refers to providing prevention services to citizens of all ages.

#### **II. USE OF GRANT FUNDS**

The GRANTEE shall expend the funds received under this Agreement in accordance with SPF SIG requirements and the requirements outlined in Part IV below to develop a Strategic Area Plan. These requirements are located at the following websites:

<http://www.samhsa.gov/grants/management.aspx>  
[http://www.samhsa.gov/Grants06/RFA/sp06\\_002\\_sig.aspx](http://www.samhsa.gov/Grants06/RFA/sp06_002_sig.aspx)

#### **III. GRANT REQUIREMENTS AND RESTRICTIONS**

The grant funds provided pursuant to this Agreement are subject to various federal and State of Utah requirements and restrictions including both Federal and DHS Cost Principles. The Federal Cost Principles are found in circulars published by the Federal Office of Management and Budget ("OMB"). The GRANTEE may locate the Federal Cost Principles applicable to its organization at the following **OMB Circulars** Internet web site:

<http://www.whitehouse.gov/omb/circulars/index.html>

The **DHS Cost Principles** may be located at the DHS Internet web site below:

[http://www.hsofo.utah.gov/files/cost\\_principles/DHS\\_Cost\\_Principles.pdf](http://www.hsofo.utah.gov/files/cost_principles/DHS_Cost_Principles.pdf)

The GRANTEE shall be responsible for familiarizing itself and complying with the applicable cost principles and may be liable for the repayment of any grant funds expended inappropriately.

#### IV. GRANT REQUIREMENTS

The funds awarded to GRANTEE pursuant to this Agreement shall be disbursed in two distinct phases. During Phase I, the GRANTEE shall develop a Strategic Plan ("Plan") for reducing: 1) Alcohol Related Motor Vehicle Crashes and 2) Prescription Drug Abuse across the lifespan in the GRANTEE's service area. The Plan developed by GRANTEE in Phase I shall meet the requirements set forth hereafter and shall be approved **in writing** by DSAMH before any funds will be disbursed to GRANTEE for Phase II. Should GRANTEE fail to develop a Plan or if the Plan developed by Grantee is not approved by DSAMH, this Agreement shall be terminated and GRANTEE shall receive no further funds pursuant to it.

Once GRANTEE'S Plan is approved in writing, Phase II of this Agreement shall commence. During Phase II, GRANTEE shall proceed to implement its Plan. **Any significant changes in, or modifications to, GRANTEE'S approved Plan or the direction of the Plan, including changes in priorities or changes in the approved budget, shall be reported to and approved by the DHS/DSAMH SPF SIG Project Management Team prior to the changes being made or implemented.**

The DSAMH SPF SIG Project Management Team ("Project Team") may be contacted at the following telephone number and address:

**Telephone Number: 801-538-4388**  
**Address: 120 North 200 West, #209, Salt Lake City, UT 84103**

##### A. PHASE I – PLANNING PERIOD (March 1, 2008 – June 30, 2008)

Phase I is the planning period. During Phase I the GRANTEE shall complete the following steps:

Step 1:           **Needs Assessment** – The GRANTEE shall assess its capacity to provide prevention services, complete a resource assessment of available prevention services for the specific grant priorities, enhance or build at least one coalition to develop prevention strategies in its service area, identify the causal factors for: 1) Alcohol Related Motor Vehicle Crashes and/or 2) Prescription Drug Abuse in its service area, including any causal factors suggested by additional data available at the local levels.

Outcome:       The GRANTEE shall turn in a completed Needs Assessment workbook which includes: a list of the members of the GRANTEE'S coalition; minutes from at least two coalition meetings; a resource assessment/guide that focuses on the GRANTEE'S priorities; a description of the tools the GRANTEE used to collect local data; a report of what data was collected; and a list of the causal factors identified by the data available.

Step 2:           **Capacity Building** – The GRANTEE shall identify the following aspects within its service area that need to be strengthened to provide services: i.e., the hiring of staff, building of coalition(s), acquiring funding streams, and/or organizing resources.

Outcome:       The GRANTEE shall turn in a list of staff designated to work on the GRANTEE'S Plan, a list of coalitions that will be addressing the priority(ies) identified in GRANTEE'S Plan, and a list of anticipated trainings to be provided for staff and/or coalitions.

Step 3:

**Strategic Plan** –GRANTEE shall develop and submit a Plan that complies with the requirements identified below. The GRANTEE'S Plan will be developed using the above Steps 1 and 2. The Plan shall state in detail how GRANTEE accomplished or will accomplish each of the specified requirements.

a. Comprehensive Prevention Strategy:

The GRANTEE shall develop a comprehensive prevention strategy aimed at reducing alcohol related motor vehicle crashes ("ARMVC") and/or prescription drug abuse and related problem behaviors. The strategy selected to impact the ARMVC or Prescription Drug Abuse shall include a full continuum of prevention services across the lifespan, including universal services, selective services, and indicated services, as well as environmental strategies and policies.

b. Local Prevention Advisory Group:

The Plan shall provide for the creation and maintenance of a Prevention Advisory Group consisting of key stakeholders and community leaders that represent the diverse needs of the GRANTEE'S service area. The GRANTEE shall maintain a current roster of Advisory Group members and the agencies/ organizations they represent.

c. Prevention Services Description:

The Plan shall be developed using the Strategic Prevention Framework 5 Step Process: Assessment, Capacity, Planning, Implementation, and Evaluation. This process also includes looking at sustainability and cultural competence as it applies to prevention programming.

d. Community Logic Models:

Community Logic Models for prevention services shall be completed and submitted to the DHS/DSAMH as part of the Plan. Community Logic Models shall be required for all prevention services provided by SPF SIG funding.

e. Evaluation of Prevention Services:

Each prevention service shall be evaluated according to the most current version of the DHS/DSAMH Minimum Evaluation Requirements or to the program evaluation. In addition, National Outcome Measures (NOMs) will be a part of any evaluation. NOMs are SAMHSA's means to address its accountability goal and performance-monitoring approach.

The actual measures are posted on the SAMHSA website:

<http://www.nationaloutcomemeasures.samhsa.gov>

f. Plan Budget:

Complete and submit a budget for implementing the GRANTEE'S Plan using the DHS budget forms located at the DHS Internet web site below:

<http://www.hsofo.utah.gov/files/forms>

Note: A maximum of twelve and a half (12.5) percent of SPF SIG funds received by the Local Authority may be used for administrative overhead. The remainder of the SPF SIG funds shall be used for prevention services related to the statewide priorities.

Outcome: GRANTEE shall complete and submit its Plan no later than **June 30, 2008.**

Step 4: **GRANTEE'S Plan Shall be Reviewed by the Project Team for Approval.** If all steps of Phase I have been successfully completed by GRANTEE, GRANTEE'S Plan shall be approved. The DHS/DSAMH shall provide GRANTEE with written notice of approval at which time the GRANTEE shall continue to Phase II.

B. PHASE II – PROGRAM IMPLEMENTATION PERIOD (July 1, 2008 – Sept 30, 2009)

Phase II is the program implementation period. During this phase the GRANTEE will put into action the Plan it developed in Phase I. This Agreement may be amended at the initiation of Phase II to include requirements specific to Phase II and GRANTEE'S Plan.

V. **PROGRAM OUTCOMES**

Demonstrate an increase in research-based indicators of prevention and a reduction in research-based risk indicators and substance use. An increase in capacity of providing comprehensive prevention services in each area. In addition, list any other local area goals and related objectives established, if applicable.

VI. **REPORTING REQUIREMENTS**

A. The GRANTEE shall meet the following reporting requirements:

**Phase I:**

1. Keep records of the minutes of all coalition meetings during the duration of the Grant.
2. Track the amount of grant funding spent on Underage Drinking (SPF or Non SPF funds) during the Grant period to be reported quarterly to DSAMH.

**Phase II: (shall include Phase I requirements)**

3. Enter prevention services data in Prevention Administration Tracking System (PATS) within 30 days of program or strategy delivery.

Collect NOMs and submit the same to DSAMH.

4. Complete the Community Level Instrument (CLI) quarterly. This form was formerly referred to as federal sub-recipient checklist.

## **VII. PAYMENT TERMS, CONDITIONS, AND DOCUMENTATION REQUIREMENTS**

- A. TYPE OF AGREEMENT: This Agreement is a cost-reimbursement Agreement. Therefore, GRANTEE is entitled only to reimbursement of actual costs incurred up to the total amount of the grant funds awarded it.
- B. DOCUMENTATION REQUIREMENTS: It is the GRANTEE's responsibility to be able to demonstrate that all grant funds awarded herein are expended appropriately. In keeping with this responsibility the GRANTEE shall keep records documenting all grant related activities, operations, and expenditures. The GRANTEE shall maintain original receipts for all expenditures claimed and individual timesheets for all personnel hours claimed. Timesheets shall include the name of the individual performing services, the date services are rendered, the work activities performed, and amount of time (measured in ¼ hour increments) expended on each activity each day.

The inability to demonstrate the appropriate use of grant funds may give rise to a presumption of inappropriate use and constitute grounds for repayment of funds.

- C. PAYMENT REQUIREMENTS AND DEADLINES: Payment to the GRANTEE shall be based on invoices submitted to DHS/DSAMH.
1. Billing Information
    - a. Invoices shall be submitted monthly no later than twenty (20) days after the end of the billing period in which the expenses were incurred. Notwithstanding the foregoing, should this Agreement be terminated early, all final invoices must be received within twenty (20) days of the date of termination of the Agreement.
    - b. If the GRANTEE fails to meet the above-identified deadlines, the STATE may deny payment of the delayed invoices.
  2. Invoices shall include the following information:
    - a. GRANTEE's name;
    - b. GRANTEE's contact information;
    - c. GRANTEE's payment address;
    - d. GRANTEE's phone number;
    - e. GRANTEE's contract number;
    - f. An itemized list of the expenses incurred during the billing period, and
    - g. GRANTEE's signature.
  3. Invoices submitted by the GRANTEE without the above-identified information shall be returned to the GRANTEE for completion.
  4. Invoices not supported by the information submitted may be denied payment.

## VIII. COMPLIANCE MONITORING AND RECORD KEEPING RESPONSIBILITIES

- A. MONITORING OF GRANTEE'S PERFORMANCE: The STATE shall have the right to monitor the GRANTEE'S performance under this Agreement. Monitoring of GRANTEE'S performance shall be at the complete discretion of the STATE, who will rely on the criteria set forth in this AGREEMENT, including the goals, objectives and methods described in this "Scope of Work" and the GRANTEE'S Plan. Performance monitoring may include both announced and unannounced visits.
- B. REVIEW OF GRANTEE'S REPORTS AND BILLS: All invoices and reports submitted by the GRANTEE will be reviewed by the STATE at the STATE'S discretion. The STATE may direct any inquiries regarding GRANTEE'S invoices and reports to the GRANTEE'S Representative as follows:

**Title: Finance Director      Name:**

**Telephone: (000) 000-0000**

**Address:**

- C. COOPERATION WITH MONITORING EFFORTS: The GRANTEE shall cooperate with the STATE in its monitoring efforts, including but not limited to, all onsite visits and all requests for information and financial records.
- D. OVERPAYMENTS AND AUDIT EXCEPTIONS: If, during or after the Agreement period, an independent CPA audit or a fiscal review by the STATE determines that payments made to the GRANTEE were incorrectly paid or were based on incorrect information from the GRANTEE, the GRANTEE may be required to repay the incorrect payments it received. The STATE shall also have the right to withhold any or all-subsequent payments under this Agreement or under other contracts or Agreements with the GRANTEE until the STATE fully recoups any payments to the GRANTEE that were determined to have been made incorrectly.